

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Shibuya, et al.	
Serial No.:	Unknown	Art Unit: Unknown
Filing Date:	Concurrent	Examiner: Unknown
For:	"Silica-Based Organic Film and Method of Manufacturing the Same, and Base Material Comprising Organic Film"	
Docket No.	372106-102	

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.56

Applicants herein make available to the Patent and Trademark Office copies of the documents:

- ☒ listed on enclosed Form PTO/SB/08A/B (Formerly PTO-1449), in accordance with 37 CFR 1.98(a)(2); and
- ☐ listed on enclosed copies of Forms PTO-1449, PTO-892 or PTO/SB/08A/B, which forms recited the application information for applications to which this application claims priority under 35 U.S.C. §120, but have been edited to indicate the current application data. Pursuant to 37 CFR 1.98(d), NO COPIES OF THESE DOCUMENTS ARE ENCLOSED. The prior applications that provide the source of these documents are:

Serial No. _____, filed _____;

Serial No. _____, filed _____;

The Examiner is requested to consider carefully the complete text of these references in connection with the examination of this application. It is believed that the Examiner will concur with Applicant's belief that the foregoing references do not adversely affect the patentability of the subject matter presently claimed, taken alone or in combination.

It is requested that the listed references be included in the "References Cited" portion of any patent issuing from this application.

Under 37 CFR 1.97(i), Applicants understand that non-complying Information Disclosure Statements will be placed in the file but not considered by the Office, however, under

Reply to Comment 8 of the Federal Register, page 2024, Applicants will be informed when information is not considered.

(1) **This Information Disclosure Statement is being filed (one of a - e):**

- (a) ☒ within three months of the filing date of the patent application.
- (b) ☐ within three months of the date of entry into the national stage as set forth in 37 CFR 1.491 of the international application.
- (c) ☐ **before** the mailing date of a first Office Action on the merits.
- (d) ☐ **after** the mailing date of the first Office Action on the merits, but before the mailing date of a Final Office Action under 37 CFR 1.116 or a Notice of Allowance under 37 CFR 1.311, and accordingly is accompanied by:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement" below);
- or**
- ☐ the Fee of \$180.00 set forth in 37 CFR 1.17(p); or
- (e) ☐ **after** the period set forth above in (d) and **after** mailing date of a Final Office Action under 37 CFR 1.116 or a Notice of Allowance under 37 CFR 1.311, and accordingly is accompanied by:
- ☐ the Statement under 37 CFR 1.97(e) (see "Statement" below);
- and**
- ☐ the Fee of \$180.00 set forth in 37 CFR 1.17(p); or

(2) **Statement**

- ☐ The **undersigned attorney** hereby states that each item information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.

(If this box is checked, do not check any further Statement boxes.)

or

- ☐ The **person signing immediately below** hereby states that no item of information contained in the Information Disclosure was cited in a communication from a foreign patent office in a counterpart foreign

patent application or, to the knowledge of the person signing after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

The person making the statement is:

☐ the inventor(s) who sign(s) below:

Signature of the Inventor(s)

Typed or Printed Name of the Inventor(s)

or

☐ a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the inventor(s), or with the assignee, or with anyone to whom there is an obligation to assign the application (37 CFR 1.565(c)) and who signs below:

Signature of the Person(s)

Typed or Printed Name of the Person

Address of Person Signing

or

☐ the undersigned attorney who signs on the basis of the information:

- ☐ supplied by the inventor(s).
- ☐ supplied by an individual designated in 37 CFR 1.56(c).
- ☐ in the attorney's file.

Signature of the Attorney

(3) **Fees**

- ☒ **No Fee** is owed by the applicants.
- ☐ **The IDS Fee** of \$180.00 under 37 CFR 1.17(p) is enclosed herewith.

(4) **Method of Payment of Fees**

- ☐ Attached is a check in the amount of \$_____.
- ☐ Charge Account No. 04-0480 in the amount of \$____.00. (A duplicate of this request is attached).

(5) **Authorization to Charge Additional Fees**

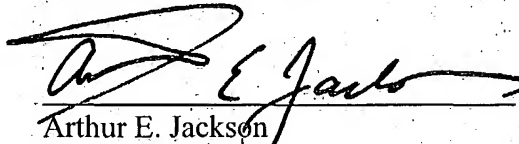
- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 04-0480.

(6) **Instructions as to Overpayment**

- ☐ Please credit Account No. 04-0480 for any overpayment.
- ☐ Please refund Dechert LLP in the amount of \$_____.

Consideration of the Information Disclosure Statement is earnestly solicited.

Respectfully submitted,


Arthur E. Jackson
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	Unknown
Filing Date	Herewith
First Named Inventor	Shibuya
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	372106-102

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
	A1	JP 62-283736 (Hei 8-3074)	01/17/1996	Kashiwagi Eiichi		✓
	A2	JP 2739902	04/15/1998	Sakamoto Yoshikane		✓
	A3	JP 3228714	11/12/2001	Sakamoto Yoshikane		✓
	A4	JP 09-120685 (Hei 10-313002)	11/24/1998	Sato Isao		✓

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached. (Abstract only):

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.